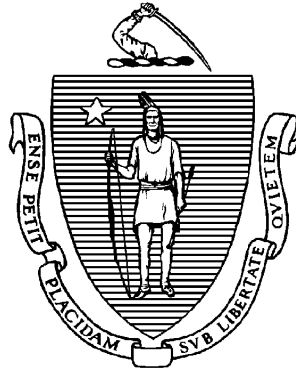


**Massachusetts Water Pollution Abatement Trust**  
Office of the Treasurer and Receiver-General  
Executive Office for Administration and Finance  
Department of Environmental Protection



**Application for Financial Assistance**  
**State Revolving Fund**  
**Planning Stage**

May 2013

**Department of Environmental Protection**  
**Bureau of Resource Protection**  
**One Winter Street**  
**Boston, Massachusetts 02108-4747**

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## **Introduction**

Chapter 275 of the Acts of 1989, as amended by Chapter 203 of the Acts of 1992 and most recently amended by Chapter 78 of the Acts of 1998, (the Act) established the state revolving fund program in Massachusetts contemplated by Title VI of the federal Clean Water Act (the CWA) and Title XIV of the Amendments to the federal Safe Drinking Water Act (SDWA). It further created the Massachusetts Water Pollution Abatement Trust (the Trust) to implement the program. The Trust, together with the Massachusetts Department of Environmental Protection (MassDEP) is authorized under the Act to make loans to local governmental units and Public Water Suppliers (PWS) to finance the costs of eligible water pollution abatement and drinking water protection projects. In order to receive a loan, a potential borrower must file an Application for Financial Assistance with the MassDEP, Bureau of Resource Protection (BRP). Once MassDEP has approved the Application, it will forward a Project Approval Certificate to the Trust. The Trust will then be authorized to fund the loan, subject to the availability of funds and subject to review by MassDEP and the Trust of financial information contained in the Application and development of terms and conditions for the loan.

Eligible projects will be determined in accordance with the priority lists established annually by MassDEP. *A project must appear on the current MassDEP Intended Use Plan project listing to be eligible to apply for financial assistance.* Applications for loans will be reviewed in accordance with the provisions of 310 CMR 44.00 or 310 CMR 45.00 (<http://mass.gov/dep/service/regulations/310cmr44.pdf> or <http://mass.gov/dep/service/regulations/310cmr45.pdf>).

This package includes the Application Forms, Instructions and other information relative to supporting documentation required to be submitted as part of the Application. Do not submit the instructions with the Application.

Applicants should note that neither the filing of an Application nor issuance by MassDEP of a Project Approval Certificate constitutes a binding commitment of the Trust or MassDEP to make a loan. Binding commitments, subject to the availability of funds, will be issued by the Trust after review of the financial information contained in the Application.

### **Changes for 2013**

**There are no substantial changes to the Planning Loan Application for 2013**

**PLEASE NOTE THAT THIS APPLICATION PACKAGE IS SUBJECT TO REVISION. IT DOES, HOWEVER, REFLECT THE BEST CURRENT INFORMATION ANTICIPATED TO BE NEEDED BY MassDEP AND THE TRUST TO REVIEW AND APPROVE YOUR PROJECT. PLEASE CONTACT MassDEP PRIOR TO SUBMISSION OF THIS APPLICATION.**

## **General Information**

*Please complete all parts of this application; incomplete or incorrect applications may delay review.*

1. *Use of This Application* - This is an application form for financial assistance from the Massachusetts Water Pollution Abatement Trust's State Revolving Fund (SRF) Program. The SRF Program is a financing assistance program for the planning, design, and construction of water pollution abatement projects. As set forth in the Calendar Year 2013 Project Priority List/Intended Use Plan, funding for design projects is not eligible for Calendar Year 2013. This form is to request subsidized loan assistance and/or to request refinancing of debt obligations incurred by the local governmental unit (LGU) in the planning of water pollution abatement and drinking water projects through preparation of Integrated Water Resource Management Plans, Comprehensive Wastewater Management Plans, Project Evaluation Reports or Stormwater Management Plans. LGUs interested in receiving an SRF loan must complete and return this application.
2. *General Eligibility* - A project must meet the eligibility criteria of the SRF program in order to be eligible for financial assistance (See 310 CMR 44.04 or 44.07 at <http://mass.gov/dep/service-regulations/310cmr44.pdf> or 310 CMR 45.08 <http://mass.gov/dep/service/regulations/310cmr45.pdf>).
3. *The Application Consists of Three Parts and a Checklist:*
  - Part I** - General information about the applicant and the project, and an applicant certification statement.
  - Part II** - Project specific data with supporting documentation.
  - Part III** - Supplemental Requirements.
  - Loan Application Checklist** - The checklist must be completed and submitted with the application. MassDEP recommends that the application be assembled in a 3-ring binder, with inserts for each of the applicable items.
4. Please refer to the instructions for each section to determine which types of additional information are required for submission with the application. The MassDEP may require other supporting information or documentation in addition to that requested in this application.
5. *Submission* - Please submit an original signed application (**including the loan application checklist**) to:

Steven McCurdy, Director  
Division of Municipal Services  
Massachusetts Department of Environmental Protection  
One Winter Street, 5th Floor  
Boston, Massachusetts 02108-4747  
(617) 292-5779

## **Instructions for Part I - Applicant Information Section**

1. Provide the legal name of the eligible borrower (local governmental unit or public water supplier) that will undertake the proposed project. If the applicant is not a municipality provide information regarding the entity that will be responsible for executing contracts and documents.

List the applicant's Department of Revenue (DOR) identification Number (this is the I.D. number used on all state revenue aid programs).

List the applicant's Federal Employer Identification Number (FEIN).

**Authorized Representative** - (*Checklist Items 2 and 3*) List the name, title, complete address, e-mail address, and telephone and fax numbers of the authorized representative. The application must contain a resolution or authorization designating by title the official (Mayor, City or Town Manager, Chairman of the Board of Water Commissioners, Board of Selectmen, etc.) to act as the representative of the applicant to sign for, accept, and take whatever action is necessary relative to the project. In the city form of government, the City Council will generally name the authorized representative. If the community is governed by Town Meeting, then the Town Meeting action will name the appropriate group, such as the Board of Selectmen or Board of Public Works. The appropriate governing body will then name the authorized representative. If the authority to file statement names an office, then a certified statement is required specifically identifying the individual currently holding that office. For wastewater districts, provide the requisite authorization of the governing board.

The Authority to File statement must be certified. This is accomplished by either a certification at the bottom of the authority to file or by submitting a separate certifying statement. Suggested forms for Authority to File and Certifying Authority to File are included in **Appendix A**.

In the event the authorized official is replaced while the project is still active, a certified statement naming the new incumbent and the effective date of appointment must be submitted.

On occasion an authorized representative may desire to delegate to another person the authority to also act on their behalf in processing paperwork during the implementation of the project. This is accomplished by having the authorized representative submitting a letter advising of this delegation.

2. If an individual other than the Authorized Representative will serve as the Applicant's contact person for day-to-day management of the project, provide that person's name, address, e-mail address, and telephone and fax numbers.
3. Provide the name and Federal Employer Identification Number (FEIN) of the engineering firm, contact person, address, e-mail address, and telephone and fax numbers.
4. List the project's ID number and name from the current CW or DW SRF Priority List/Intended Use Plan, and provide a brief description of the nature and scope of the planning project to be undertaken.
5. If the project is serving more than one municipality, list all municipalities involved and any NPDES permit numbers, as applicable.
6. Indicate the amount of financial assistance you are requesting.
7. **Local Appropriation** - (*Checklist Item 4*) The applicant must demonstrate that sufficient funds are available to cover the total (both eligible and ineligible) project costs. This is accomplished by means a vote of Town Meeting, City Council, Wastewater District, or other appropriate action. Forms are included in **Appendix B** that provide suggested language depending on whether the applicant uses

general obligation or revenue obligation borrowing. Local bond counsel should be consulted for exact language.

Important points to remember include:

- a. Note that the applicant can borrow from the Massachusetts Water Pollution Abatement Trust in accordance with Chapter 29c, as amended, of the General Laws.
  - b. The resolution must be certified.
  - c. It must denote who can act on behalf of the applicant to file for and accept financing.
  - d. It must specifically state what project or type of project is being authorized, such as treatment plant, pumping station, sewers, etc.
8. Check **ALL** forms of financial assistance the applicant is requesting.
  9. The application certification must be signed by the authorized representative designated in item 1. **Please review carefully the 13 conditions with which projects financed through the SRF must comply.** Failure to meet these conditions may preclude MassDEP's approval of the project. (Note that some of these conditions (Nos. 1, 3, 5, 10, and 13) do not apply to planning stage projects.)

### **Instructions for Part II - Project Section**

1. **PROJECT SCHEDULE AND COST** - The application must contain a realistic schedule for starting and completing the planning project. Since the Trust will sell its bonds based on the proposed schedule, it is critical that this schedule be as accurate as possible. Please include month, day, and year. Indicate the total and eligible costs of the project. Eligibility must be consistent with the MassDEP Policy on Eligible Project Costs (<http://mass.gov/dep/water/laws/cwsrfpol.pdf> or <http://mass.gov/dep/water-laws/dwsrfpol.pdf>).
2. **CASH FLOW PROJECTIONS** – Provide a month-by-month schedule of project expenditures. This schedule should show all expenses, including previously incurred costs if MassDEP had issued a prior approval as provided in 310 CMR 44.07 or 310 CMR 45.07 (<http://mass.gov/dep/service/regulations/310cmr44.pdf> or <http://mass.gov/dep/service/regulations-/310cmr45.pdf>). The consulting engineer should be able to provide an estimate of the project schedule and anticipated fund amounts necessary to complete the project. This information will be important to determine subsidy and bonding requirements. (Since it will be necessary to make assumptions regarding project start-up and loan award dates in order to complete this section, it may be necessary to update this information later to reflect the actual date of project initiation.)
  - a. **Prior Approval** - For projects that have received prior approval, in the “Month/Year” column list the date when the loan is anticipated to be approved. Under “Cost Incurred to Date” provide the projected incurred cost as of that date. Under “Source/Amount”, indicate how the incurred costs were financed (free cash, short-term borrowing, etc.) and provide the note expiration date as applicable. Attach a copy of the MassDEP's prior approval letter to the application.
  - b. **Proposed Project** - In the “Month/Year” column, the first date should be the one when new expenses are expected to commence. List the calculated amount of monthly disbursements for each month of the project from the commencement date. (If the project schedule exceeds the months provided, continue the table on a separate sheet.) Indicate the anticipated eligibility of the monthly disbursements in the “Total Cost” and “Eligible Cost” columns.

### **Instructions for Part III - Supplemental Requirements (Items Nos. 5 through 14 on Checklist)**

5. **PLAN OF STUDY** - A detailed Plan of Study must be submitted with the application, outlining the scope of services for the planning work. The plan of study should be of sufficient detail to demonstrate that all MassDEP planning requirements will be met. For further guidance on this issue, contact the appropriate MassDEP Program Manager.
6. **MASSACHUSETTS ENVIRONMENTAL POLICY ACT (MEPA) COMPLIANCE** - The Plan of Study must contain a work item to prepare an Environmental Notification Form (ENF). An ENF must be filed with the MEPA unit of the Executive Office of Energy and Environmental Affairs (EOEEA) if the project exceeds the review thresholds contained in 301 CMR 11.00 (<http://www.mass.gov/envir/mepa/thirdlevelpages/meparegulations/301cmr11.pdf>). After a review period, the Secretary of EOEEA will decide whether an Environmental Impact Report (EIR) is required or not. If not, then the project can proceed, subject to any conditions that MEPA may place on the project. If an EIR is required, it must be completed by the proponent and submitted to the Secretary for an additional public comment period. Once the comment period has expired, the Secretary will render a decision on the final EIR. If it is found acceptable, and once the 60-day legal challenge period expires, the project can then proceed. The application must contain documentation that the requirements of MEPA have been satisfied.
7. **MASSACHUSETTS HISTORICAL COMMISSION (Approval)** - A construction loan cannot be made until all work required by the Massachusetts Historical Commission (MHC) has been completed and approved by them in accordance with 950 CMR 71.00. For planning projects, the Plan of Study must include a work item to initiate an archaeological survey, if required.
8. **PROFESSIONAL SERVICES AGREEMENT** - The application must contain draft agreements for all professional services which clearly outline the duties and responsibilities of the applicant and its contractors. The agreement will include, but not be limited to, scope of work for the various planning tasks, cost to perform the work to be paid in accordance with the provisions of eligible contracts, provisional overhead rate, and time of completion.
9. **MODEL SUBAGREEMENT CLAUSES** - The provisions of **Appendix C** are to be made a part of all professional services agreements.
10. **SRF 90-01 COST/PRICE SUMMARY** - The request for financial assistance for professional services in excess of \$25,000 shall include a breakdown of cost and price considerations in the approved format. The following items will be included:
  1. Direct salary costs by job category.
  2. Provisional overhead rate.
  3. Other direct costs (travel, expenses, subcontracts, etc.)
  4. Profit.

The form (**Appendix D**) must be signed by both the contractor and the applicant.
11. **DETAILED FEE BREAKDOWN** - All fees shall be broken out by task (shop drawings, resident services, start-up, etc.), job category (vice president, project engineer, draftsman, etc.), and cost.
12. **SUBCONTRACTS WHERE APPLICABLE** - All lower tier subcontracts in excess of \$25,000 must be submitted in draft form with the application, including an executed BRP 90-01 form, and a detailed fee breakdown.

13. DISADVANTAGED BUSINESS ENTERPRISE - Applicants receiving assistance must make positive efforts to use disadvantaged minority and women owned businesses for professional services. Such efforts should achieve a goal of 3.40% participation for disadvantaged minority business (MBE) and 3.80% participation for disadvantaged women owned business (WBE) but, at a minimum, should allow these sources the maximum feasible opportunity to compete for subagreements to be performed using state trust monies. Sample forms are provided in **Appendix E**.
14. CHAPTER 233 - COMPLIANCE STATEMENT ON MA TAXES - A statement must be signed by the consultant engineer(s) for the project that states that the engineer(s) is in compliance with Massachusetts tax laws. A sample statement is provided in **Appendix F**.



## Part I

### Applicant Information and Certification

(attach additional pages as necessary)

<b>1. LOCAL GOVERNMENTAL UNIT (LGU)</b>		
LGU Name:	Dept. of Revenue ID No.:	FEIN
Authorized Representative:		Title:
Street/P.O. Box:		
City:	State:	Zip:
Telephone: ( )	Fax: ( )	E-Mail:

<b>2. LGU CONTACT PERSON (if different from item 1)</b>		
Name:	Title:	
Mailing Address (if different from item 1)		
Street/P.O. Box:		
City:	State:	Zip:
Telephone: ( )	Fax: ( )	E-Mail:

<b>3. ENGINEER OR CONSULTANT FIRM</b>		
Firm/Agency:	FEIN	
Contact Person:		
Mailing Address		
Street/P.O. Box:		
City:	State:	Zip
Telephone: ( )	Fax: ( )	E-Mail:

<b>4. CWSRF/DWSRF PROJECT IDENTIFICATION NUMBER</b>	
ID No. from Current Priority List:	
Project Description:	

<b>5. MUNICIPALITIES SERVED BY TREATMENT WORKS (Name / Permit Numbers)</b>	

<b>6. AMOUNT OF ASSISTANCE REQUESTED</b>
\$

<b>7. LOCAL APPROPRIATION</b>		<b>Amount</b>	<b>Available Balance</b>
Bonds	\$	\$	
Cash	\$	\$	
Other	\$	\$	

8. TYPE OF FINANCIAL ASSISTANCE REQUESTED		
(Check as applicable)	Loan for new project	
	Refinancing of debt incurred	
If refinancing, list amount of outstanding debt and maturity dates.		
Amount	Date of Issue	Maturity Date

9. CERTIFICATION
In submitting this Application to MassDEP, the Applicant certifies that it shall comply with the following Project related conditions, and understands that the Applicant's non-compliance with one or more of these conditions may preclude MassDEP's issuance of a Project Approval Certificate or entry into a Project Regulatory Agreement.
(1) The Applicant shall obtain MassDEP's prior written approval to: (a) advertise any Invitation To Bid or Request for Proposals to procure contracts for the Project; and (b) award any contracts for the Project.
(2) The Borrower shall comply with the Affirmative Action requirements in the Department's Regulations and the federal Disadvantaged Business Enterprise (DBE) rule. The Borrower shall comply with the Civil Rights Act of 1964, 42 USC s.2000(a) et seq., as amended, and all Executive Orders and regulations promulgated hereunder. The Borrower shall sign and deliver to the Department a Nondiscrimination in Employment form. The Borrower shall ensure that any prime contracts or subcontracts for services, construction, goods or equipment for the Project contain the M/WBE utilization goals of 3.40% MBE and 3.80% WBE.
(3) The Applicant shall at all times provide and maintain competent and adequate resident supervision and inspection of the Project under the direction of a licensed professional engineer. Such resident site engineer shall ensure that the implementation of the Project conforms with the approved plans and specifications, and shall certify to the Applicant and MassDEP at the completion of the Project that the implementation of the Project is in accordance with MassDEP approved final plans and specifications for the Project. The Applicant also agrees to submit an executed copy of the contract for resident site engineering services to MassDEP within sixty (60) days of the date of the contract award. The Applicant understands that no payments for the Project will be processed until such contract has been submitted to MassDEP.
(4) Prior to receiving final payment for the Project, the Applicant shall certify to MassDEP that the Project has been completed and performed in accordance with the Project Regulatory Agreement.
(5) The Applicant shall be solely responsible for the implementation and completion of the Project in accordance with MassDEP approved plans and specifications and MassDEP permit(s) issued for the Project, and for the economical and efficient operation and administration of the Project. The Applicant's responsibilities include retaining sufficient operating personnel and conducting operational tests and other needed evaluations to ensure the economical and efficient operation and administration of the Project.
(6) The Applicant shall establish accounts for the Project which shall be maintained in accordance with generally accepted government accounting standards.
(7) The Applicant understands that if MassDEP issues a Project Approval Certificate for this project, such action does not constitute MassDEP's sanction or approval of any changes or deviation from any applicable state regulatory or permit standards, criteria, or conditions, or from the terms or schedules of state enforcement actions or orders applicable to the Project.
(8) The Applicant shall maintain all Project records for seven years after the issuance of final payment or until any litigation, appeal, claim, or audit that is begun before the end of the seven-year period is completed and resolved, whichever is longer.
(9) The Applicant agrees to provide any Project information and documentation requested by MassDEP.
(10) The Applicant shall obtain fee simple title or such other property interest in the Project site, including any easements and rights-of-way, necessary to ensure the undisturbed use and possession of the Project site for the purposes of implementation and operation of the Project for its estimated life.

(11) Any proposed change in Project-related contracts which substantially modifies the Project initially proposed shall be submitted to MassDEP for prior approval.	
(12) The Applicant's implementation of the Project, including the procurement of related contracts, shall comply with all applicable requirements of state and local laws, ordinances, by-laws, rules and regulations.	
(13) MassDEP representatives shall have access to Project work whenever it is in preparation or progress, and shall be provided proper facilities for such Project access and inspection. All of the Applicant's construction and other relevant contracts shall contain the above provision.	
<p><b>To the best of my knowledge and belief, data provided in this application is true and correct; the documentation has been duly authorized by the governing body of the applicant. Furthermore, the applicant certifies that it possesses the legal authority to apply for the loan, and to finance and construct the proposed facilities. A resolution, motion, or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application. The same resolution, motion, or similar action is directing and authorizing the person identified below as the authorized representative of the applicant to act in connection with the application and to provide such additional information as may be required.</b></p>	
Name of Representative (Type)	Title
Signature of Representative	(Date)

## Project Section Information

[illegible]

**State Revolving Fund Program  
Loan Application Checklist**

**PLANNING STAGE PROJECTS**

Please use this checklist to confirm that all required forms and supplemental information have been included with the application, and submit the checklist with your application.

Item	Included in this package (check)	Previously submitted (date)
1. Parts I, II, and III		
2. Authority to File		
3. Certifying Authority to File		
4. Local Appropriation		
5. Plan of Study		
6. MEPA		
7. Historic Preservation		
8. Professional Services Agreements		
9. Model subagreement clauses		
10. Cost / Price Summary		
11. Detailed Fee Breakdown		
12. Subcontracts		
13. Minority / Women Business Enterprise		
14. Chapter 233 - Statement on MA Taxes		

## **Appendix A**

### **Authority to File And Certifying Authority to File**

*Sample CWSRF: Resolution Authorizing Officer to File Application with the Massachusetts Department of Environmental Protection for State Financial Assistance for Water Pollution Abatement Projects.*

**AUTHORITY TO FILE**

Whereas, \_\_\_\_\_, after thorough investigation,  
(Applicant)  
has determined that the work activity consisting of: \_\_\_\_\_

\_\_\_\_\_  
(describe project)

is both in the public interest and necessary to protect the public health, and that to undertake this activity, it is necessary to apply for assistance; and

Whereas, the Department of Environmental Protection (MassDEP) and the Massachusetts Water Pollution Abatement Trust (the Trust) of the Commonwealth of Massachusetts, pursuant to Chapter 21 and Chapter 29C of the General Laws of the Commonwealth ("Chapter 21" and "Chapter 29C") are authorized to make loans to municipalities for the purpose of funding planning and construction activities relative to Water Pollution Abatement Projects; and

Whereas, the Applicant has examined the provisions of the Act, Chapter 21 and Chapter 29C, and believes it to be in the public interest to file a loan application.

NOW, THEREFORE, BE IT RESOLVED by \_\_\_\_\_  
(Governing Body)

as follows:

1. That \_\_\_\_\_ is hereby authorized on behalf  
(Title of Official)  
of the Applicant to file applications and execute agreements for grant and/or loan assistance as well as furnishing such information, data and documents pertaining to the applicant for a grant(s) and/or loan(s) as may be required; and otherwise to act as the authorized representative of the Applicant in connection with this application;
2. That the purpose of said loan(s), if awarded, shall be to fund construction activities.
3. That if said award is made the Applicant agrees to pay those costs which constitute the required Applicant's share of the project cost.

*Sample CWSRF: Certification to the Massachusetts Department of Environmental Protection as to Authority to File Applications for State Financial Assistance for Water Pollution Abatement Projects.*

**CERTIFYING AUTHORITY TO FILE**

I hereby certify that the \_\_\_\_\_ of  
(Name of Governing Body)

the \_\_\_\_\_  
(Corporate Name of Local Government Unit)

(hereinafter referred to as the Applicant), at a meeting noticed and conducted in accordance with all applicable legal requirements, duly voted to authorize

\_\_\_\_\_  
(Title of Local Government Unit Official)

to act on behalf of the Applicant, as its agent, in filing applications for, executing agreements regarding, and performing any and all other actions necessary to secure for the Applicant such loan(s) for construction or planning of Water Pollution Abatement Projects as may be made available to the Applicant pursuant to the provisions of the Massachusetts Clean Waters Act (M.G.L. c.21, section 27-33E, inclusive, as amended) and the Water Pollution Abatement Revolving Loan Program (M.G.L. c.29C) for the following project:

\_\_\_\_\_  
(describe project)

I hereby certify that \_\_\_\_\_ is the present incumbent  
(Name of Person)  
of the position referenced above, and do hereby certify:

1. That the attached resolution is a true and correct copy of the resolution as finally adopted at a meeting of the governing body held on the \_\_\_\_ day of \_\_\_\_, 20\_\_, and duly recorded in my office:
2. That said meeting was duly convened and held in all respects in accordance with law and to the extent required by law, due and proper notice of such meeting was given; and a legal quorum was present throughout the meeting, and a legally sufficient number of members of the governing body voted in the proper manner and for the adoption of said resolution; that all other requirements and proceedings under the law incident to the proper adoption or passage of said resolution, including publication, if required, have



been duly fulfilled, carried out, and otherwise observed; and that I am authorized to execute this certificate:

3. That if an impression of a seal has been affixed below, it constitutes the official seal of the Applicant and this certificate is hereby executed under such official seal; but if no seal has been affixed, the Applicant does not have an official seal:

IN WITNESS WHEREOF, I have hereunto set my hand this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

Sample DWSRF: Resolution Authorizing Officer to File Application with the Massachusetts Department of Environmental Protection, for State Financial Assistance for Drinking Water Protection Projects.

## AUTHORITY TO FILE

Whereas, \_\_\_\_\_, after thorough investigation,  
(Applicant)  
has determined that the work activity consisting of: \_\_\_\_\_

(describe project)

is both in the public interest and necessary to protect the public health, and that to undertake this activity, it is necessary to apply for assistance; and

Whereas, the Massachusetts Department of Environmental Protection (MassDEP) and the Massachusetts Water Pollution Abatement Trust (the Trust) of the Commonwealth of Massachusetts, pursuant to Chapter 21 and Chapter 29C of the General Laws of the Commonwealth ("Chapter 21" and "Chapter 29C") are authorized to make loans to municipalities for the purpose of funding planning and construction activities relative to Drinking Water Protection Projects; and

Whereas, the Applicant has examined the provisions of the Act, Chapter 21 and Chapter 29C, and believes it to be in the public interest to file a loan application.

NOW, THEREFORE, BE IT RESOLVED by \_\_\_\_\_  
(Governing Body)

as follows:

1. That \_\_\_\_\_ is hereby authorized on behalf  
(Title of Official)  
of the Applicant to file applications and execute agreements for grant and/or loan assistance as well as furnishing such information, data and documents pertaining to the applicant for a grant(s) and/or loan(s) as may be required; and otherwise to act as the authorized representative of the Applicant in connection with this application;
2. That the purpose of said loan(s), if awarded, shall be to fund construction activities.
3. That if said award is made the Applicant agrees to pay those costs which constitute the required Applicant's share of the project cost.

*Sample DWSRF: Certification to the Massachusetts Department of Environmental Protection, as to Authority to File Applications for State Financial Assistance for Drinking Water Protection Projects.*

**CERTIFYING AUTHORITY TO FILE**

I hereby certify that the \_\_\_\_\_ of  
(Name of Governing Body)  
the \_\_\_\_\_  
(Corporate Name of Local Government Unit)

(hereinafter referred to as the Applicant), at a meeting noticed and conducted in accordance with all applicable legal requirements, duly voted to authorize

\_\_\_\_\_  
(Title of Local Government Unit Official)

to act on behalf of the Applicant, as its agent, in filing applications for, executing agreements regarding, and performing any and all other actions necessary to secure for the Applicant such loan(s) for construction or planning of Drinking Water Protection Projects as may be made available to the Applicant pursuant to the provisions of the Massachusetts Clean Waters Act (M.G.L. c.21, section 27-33E, inclusive, as amended) and the Water Pollution Abatement Revolving Loan Program (M.G.L. c.29C) for the following project:

\_\_\_\_\_  
(describe project)

I hereby certify that \_\_\_\_\_ is the present incumbent  
(Name of Person)  
of the position referenced above, and do hereby certify:

1. That the attached resolution is a true and correct copy of the resolution as finally adopted at a meeting of the governing body held on the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, and duly recorded in my office:
2. That said meeting was duly convened and held in all respects in accordance with law and to the extent required by law, due and proper notice of such meeting was given; and a legal quorum was present throughout the meeting, and a legally sufficient number of members of the governing body voted in the proper manner and for the adoption of said resolution; that all other requirements and proceedings under the law incident to the proper adoption or passage of said resolution, including publication, if required, have been duly fulfilled, carried out, and otherwise observed; and that I am authorized to execute this certificate:

3. That if an impression of a seal has been affixed below, it constitutes the official seal of the Applicant and this certificate is hereby executed under such official seal; but if no seal has been affixed, the Applicant does not have an official seal:

IN WITNESS WHEREOF, I have hereunto set my hand this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

## **Appendix B**

### **Sample Language for Local Appropriations**

# MASSACHUSETTS WATER POLLUTION ABATEMENT TRUST

**NOTE: The following are suggested forms of a town meeting article and vote and city council loan order. These forms are provided as guidance only. Bond counsel to the municipality should be consulted to determine the exact form of authorization required and to determine which local body or official must approve the terms of the borrowing and the forms of documentation. Note also that districts and regional local governmental units may have substantially different authorization requirements from those indicated below for towns and cities.**

## SUGGESTED FORM OF TOWN MEETING ARTICLE AND VOTE

### Article

To see if the Town will vote to appropriate a sum of money for the [construction] [planning] of (insert description of the water pollution abatement or drinking water project); to determine whether this appropriation shall be raised by borrowing from the Massachusetts Water Pollution Abatement Trust or otherwise; and to take any other action relative thereto.

### Vote

Voted: that \$\_\_\_\_\_ is appropriated for the purpose of financing the [construction] [planning] of (insert description of the water pollution abatement or drinking water project) including without limitation all costs thereof as defined in Section 1 of Chapter 29C of the General Laws, as most recently amended by St. 1998, c.78; that to meet this appropriation the Treasurer with the approval of the Selectmen is authorized to borrow \$\_\_\_\_\_ and issue bonds or notes therefore under (Chapter 44 of the General Laws or insert reference to other applicable general or special law governing the issuance of local bonds) and/or Chapter 29C of the General Laws, as most recently amended by St. 1998, c.78; that such bonds or notes shall be general obligations of the Town unless the Treasurer with the approval of the Selectmen determines that they should be issued as limited obligations and may be secured by local system revenues as defined in Section 1 of Chapter 29C, as most recently amended by St. 1998, c.78; that the Treasurer with the approval of the Selectmen is authorized to borrow all or a portion of such amount from the Massachusetts Water Pollution Abatement Trust established pursuant to Chapter 29C, as most recently amended by St. 1998, c.78; and in connection therewith to enter into a loan agreement and/or security agreement with the Trust and otherwise to contract with the Trust and the Department of Environmental Protection with respect to such loan and for any federal or state aid available for the project or for the financing thereof; that the (Board of Selectmen, Board of Public Works or other appropriate local body or official) is authorized to enter into a project regulatory agreement with the Department of Environmental Protection, to expend all funds available for the project and to take any other action necessary to carry out the project.

## SUGGESTED FORM OF CITY COUNCIL LOAN ORDER

Ordered: that \$\_\_\_\_\_ is appropriated for the purpose of financing the [construction] [planning] of (insert description of the water pollution abatement or drinking water project) including without limitation all costs thereof as defined in Section 1 of Chapter 29C of the General Laws, as most recently amended by St. 1998, c.78; that to meet this appropriation the Treasurer with the approval of the (Mayor or Manager) and the (Auditor, Finance Committee or other appropriate local body or official) is authorized to borrow \$\_\_\_\_\_ and issue bonds or notes therefore under (Chapter 44 of the General Laws or insert reference to other applicable general or special law governing the issuance of local bonds) and/or Chapter 29C of the General Laws, as most recently amended by St. 1998, c.78; that such bonds or notes shall be general obligations of the City unless the Treasurer with the approval of the (Mayor or Manager) and the (Auditor, Finance Committee or other appropriate local body or official) determines that they should be issued as limited obligations and may be secured by local system revenues as defined in Section 1 of Chapter 29C, as most recently amended by St. 1998, c.78; that the Treasurer with the approval of the (Mayor or Manager) [and the (Auditor, Finance Committee or other appropriate local body or official)] is authorized to borrow all or a portion of such amount from the Massachusetts Water Pollution Abatement Trust established pursuant to Chapter 29C, as most recently amended by St. 1998, c.78; and in connection therewith to enter into a loan agreement and/or a security agreement with the Trust and otherwise to contract with the Trust and the Department of Environmental Protection with respect to such loan and for any federal or state aid available for the project or for the financing thereof; that the (Mayor or Manager) is authorized to enter into a project regulatory agreement with the Department of Environmental Protection, to expend all funds available for the project and to take any other action necessary to carry out the project.

## **Appendix C**

### **Model Sub-Agreement Provisions**



## **Professional Services Agreements -Required Provisions**

All contracts between SRF borrowers and professional services consultants shall contain the following provisions.

- (1) The owner and the contractor agree that the following provisions apply to the eligible work to be performed under this agreement and that such provisions supersede any conflicting provisions of this agreement.
- (2) The work under this agreement is funded in part by the water pollution abatement fund. Neither the Commonwealth of Massachusetts nor the Massachusetts Department of Environmental Protection (MassDEP) nor the Water Pollution Abatement Trust is a party to this agreement. As used in these clauses, the words "the date of execution of this agreement" means the date of execution of this agreement and any subsequent modification of the terms, compensation or scope of services pertinent to unperformed work.
- (3) The owner's rights and remedies provided in these clauses are in addition to any other rights and remedies provided by law or this agreement.
- (4) The contractor shall be responsible for the professional quality, technical accuracy, timely completion, and the coordination of all designs, drawings, specifications, reports, and other services furnished by the contractor under this agreement. The contractor shall without additional compensation, correct or revise any errors, omissions, or other deficiencies in his designs, drawings, specifications, reports, and other services.
- (5) The contractor shall perform such professional services as may be necessary to accomplish the work required to be performed under this agreement, in accordance with this agreement and applicable MassDEP requirements in effect on the date of execution of this agreement.
- (6) The owner's or MassDEP's approval of drawings, designs, specifications, reports, and incidental work or materials furnished hereunder shall not in any way relieve the contractor of responsibility for the technical adequacy of his work. Neither the owner's nor MassDEP's review, approval or acceptance of, nor payment for, any of the services shall be construed to operate as a waiver of any rights under this agreement or of any cause of action arising out of the performance of this agreement.
- (7) The contractor shall be and shall remain liable, in accordance with applicable law, for all damages to the owner or MassDEP caused by the contractor's negligent performance of any of the services furnished under this agreement, except for errors, omissions or other deficiencies to the extent solely attributable to the owner, owner-furnished data or any third party not controlled by the contractor. The contractor shall not be responsible for any time delays in the project caused by circumstances beyond the contractor's control. Where innovative processes or techniques are recommended by the engineer and are used, the engineer shall be liable only for gross negligence to the extent of such use.
- (8) The services to be performed by the contractor shall include all services required to complete the scope of work as defined and set out in the professional services agreement to which these provisions are attached in accordance with applicable regulations.
- (9) The owner may, at any time, by written order, make changes within the general scope of this agreement in the services or work to be performed. If such changes cause an increase or decrease in the contractor's cost of, or time required for, performance of any services under this agreement, whether or not changed by any order, an equitable adjustment shall be made and this agreement shall be modified in writing accordingly. The contractor must assert any claim for adjustment under this clause in writing within 30 days from the date of receipt by the contractor of the notification of change, unless the owner grants a further period of time before the date of final payment under this agreement.
- (10) No services for which an additional compensation will be charged by the contractor shall be furnished without the written authorization of the owner.

(11) In the event that there is a modification of MassDEP's requirements relating to the services to be performed under this agreement after the date of execution of this agreement, the increased or decreased cost of performance of the services provided for in this agreement shall be reflected in an appropriate modification of this agreement.

(12) Either party may terminate this agreement, in whole or in part, in writing, if the other party substantially fails to fulfill its obligations under this agreement through no fault of the terminating party. However, no such termination may be effected unless the other party is given (1) not less than ten calendar days written notice (delivered by certified mail, return receipt requested) of intent to terminate and (2) an opportunity for consultation with the terminating party before termination.

(13) The owner may terminate this agreement, in whole or in part, in writing, for its convenience, if the termination is for good cause (such as for legal or financial reasons, major changes in the work or program requirements, initiation of a new phase) and the contractor is given (1) not less than ten calendar days written notice (delivered by certified mail, return receipt requested) of intent to terminate, and (2) an opportunity for consultation with the terminating party before termination.

(14) If the owner terminates for default, an equitable adjustment in the price provided for in this agreement shall be made, but (1) no amount shall be allowed for anticipated profit on services not performed or other work, and (2) any payment due to the contractor at the time of termination may be adjusted to the extent of any additional costs the owner incurs because of the contractor's default.

If the contractor terminates for default or if the owner terminates for convenience, the equitable adjustment shall include a reasonable profit for services or other work performed. The equitable adjustment for any termination shall provide for payment to the contractor for services rendered and expenses incurred before the termination, in addition to termination settlement costs the contractor reasonably incurs relating to commitments which had become firm before the termination.

(15) Upon receipt of a termination action under paragraphs (13) or (14), the contractor shall (1) promptly discontinue all services affected (unless the notice directs otherwise), and (2) deliver or otherwise make available to the owner all data, drawings, specifications, reports, estimates, summaries, and such other information and materials as the contractor may have accumulated in performing this agreement, whether completed or in process.

(16) Upon termination under paragraph (13) or (14), the owner may take over the work and prosecute the same to completion by agreement with another party or otherwise. Any work the owner takes over for completion will be completed at the owner's risk, and the owner will hold harmless the contractor from all claims and damages arising out of improper use of the contractor's work.

(17) If, after termination for failure of the contractor to fulfill contractual obligations, it is determined that the contractor had not so failed, the termination shall be deemed to have been effected for the convenience of the owner. In such event, adjustment of the price provided for in this agreement shall be made as paragraph (14) provides.

(18) Except as this agreement otherwise provides, all claims, counter-claims, disputes, and other matters in question between the owner and the contractor arising out of or relating to this agreement or the breach of it will be decided by arbitration if the parties hereto mutually agree, or in a court of competent jurisdiction pursuant to the laws of Massachusetts.

(19) The Contractor shall maintain books, records, documents, and other evidence directly pertinent to performance on eligible work under this agreement in accordance with generally accepted accounting principles and practices consistently applied. The contractor shall also maintain the financial information and data used by the contractor in the preparation or support of the cost submission and a copy of the cost summary submitted to the owner. The Governor, the Secretary of Administration and Finance, MassDEP and State Auditor's Office or any of their duly

authorized representatives, shall have access to such books, records, documents, and other evidence for inspection, audit, and copying. The contractor will provide proper facilities for such access and inspection.

(20) The contractor agrees to include paragraphs (19)-(23) in all his contracts and all subcontracts directly related to project performance that are in excess of \$25,000.

(21) Audits conducted under this provision shall be in accordance with generally accepted auditing standards and established procedures and guidelines of the reviewing or audit agency(ies).

(22) The contractor agrees to the disclosure of all information and reports resulting from access to records under paragraphs (19) or (20), to any of the agencies referred to in paragraph (19), provided that the contractor is afforded the opportunity for an audit exit conference and an opportunity to comment and submit any supporting documentation on the pertinent portions of the draft audit report and that the final audit report will include written comments of reasonable length, if any, of the contractor.

(23) The contractor shall maintain and make available records under paragraph (19) and (20) during performance on eligible work under this agreement and until 7 years from the date of final payment for the project. In addition, those records which relate to any "Dispute", appeal under an assistance agreement, to litigation, to the settlement of claims arising out of such performance, or to costs or items to which an audit exception has been taken, shall be maintained and made available until 3 years after the date of resolution of such appeal, litigation, claim, or exception if such date is later than seven years from the date of final payment.

(24) (This clause is applicable if the amount of this agreement exceeds \$100,000). If the owner or MassDEP determine that any price, including fee, negotiated in connection with this agreement or any cost reimbursable under this agreement was increased by any sums because the contractor or any subcontractor furnished incomplete or inaccurate cost or pricing data or data not current as certified in his certification of current cost or pricing data, then such price, cost, or fee shall be reduced accordingly and the agreement shall be modified in writing to reflect such reduction.

(25) Any subcontractors and outside associates or consultants required by the contractor in connection with services under this agreement will be limited to such individuals or firms as were specifically identified and agreed to during negotiations, or as the owner specifically authorizes in writing during the performance of this agreement. The owner must give prior approval for any substitutions in or additions to such subcontractors, associates, or consultants.

(26) In connection with the performance of work under this contract, the Contractor shall not discriminate against any employee or applicant for employment because of race, color, religious creed, national origin, sex, sexual orientation, genetic information, military service, age, ancestry or disability, shall not discriminate in the selection or retention of subcontractors, and shall not discriminate in the procurement of materials and rentals of equipment.

(27) The contractor warrants that no person or selling agency has been employed or retained to solicit or secure this contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees. For breach or violation of this warranty the owner shall have the right to annul this agreement without liability or in its discretion to deduct from the contract price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

(28) If it is found, after notice and hearing, by the owner that the contractor, or any of the contractor's agents or representatives, offered or gave gratuities (in form of entertainment, gifts, or otherwise), to any official, employee or agent of the owner, or of the state, in an attempt to secure a contract or favorable treatment in awarding, amending, or making any determination related to the performance of this agreement, the owner may, by written notice to the contractor, terminate the right of the contractor to proceed under this agreement. The owner may also pursue other rights and remedies that the law or this agreement provides. However, the existence of the facts upon which the

owner bases such findings shall be in issue and may be reviewed in proceedings under the remedies clause of this agreement.

(29) In the event this agreement is terminated as provided in paragraph (28), the owner shall be entitled: (1) To pursue the same remedies against the contractor as it could pursue in the event of a breach of the contract by the contractor, and (2) as penalty, in addition to any other damages to which it may be entitled by law, to exemplary damages in an amount (as determined by the owner) which shall be not less than three nor more than ten times the costs the contractor incurs in providing any such gratuities to any such officer or employee.

(30) MassDEP has the right to use, duplicate, and disclose, in whole or in part, in any manner for any purpose whatsoever, any plans, drawings, designs, specifications, computer programs (which are substantially paid for with Trust funds), technical reports, operating manuals, and other work submitted with an application or which are specified to be delivered under this agreement or which are developed or produced and paid for under this agreement. The owner and the MassDEP reserve a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, and use such materials, in whole or in part, and to authorize others to do so. The contractor shall include appropriate provisions to achieve the purpose of this condition in all subcontracts expected to produce copyrightable subject data.

(31) All such subject data furnished by the contractor pursuant to this agreement are instruments of his services in respect of the project. It is understood that the contractor does not represent such subject data to be suitable for reuse on any other project or for any other purpose. If the owner reuses the subject data without the contractor's specific written verification or adaptation, such reuse will be at the sole risk of the owner, without liability to the contractor. Any such verification or adaptation will entitle the contractor to further compensation at rates agreed upon by the owner and the contractor.

## **Appendix D**

### **Cost and Price Summary (SRF 90-1)**

COST OR PRICE SUMMARY FORMAT FOR SUBAGREEMENTS UNDER THE STATE REVOLVING FUND PROGRAM				SRF-90-1			
<b>PART I - GENERAL</b>							
1. APPLICANT			2. PROJECT				
3. NAME OF CONTRACTOR OR SUBCONTRACTOR		4. FEIN	5. DATE OF PROPOSAL				
6. ADDRESS OF CONTRACTOR OR SUBCONTRACTOR			7. TYPE OF SERVICE TO BE FURNISHED				
<b>PART II - COST SUMMARY</b>							
8. DIRECT LABOR (Specify labor categories)	ESTI- MATED HOURS	HOURLY RATE	ESTIMATED COST	TOTAL			
			\$				
DIRECT LABOR TOTAL:				\$			
9. INDIRECT COSTS (Specify indirect cost pools)	RATE	x BASE =	ESTIMATED COST				
		\$	\$				
INDIRECT COSTS TOTAL:				\$			
10. OTHER DIRECT COSTS							
a. TRAVEL			ESTIMATED COST				
(1) TRANSPORTATION			\$				
(2) PER DIEM			\$				
TRAVEL SUBTOTAL:			\$				
b. EQUIPMENT, MATERIALS, SUPPLIES (Specify categories)	QTY	COST	ESTIMATED COST				
		\$	\$				
EQUIPMENT SUBTOTAL:			\$				
c. SUBCONTRACTS			ESTIMATED COST				
			\$				
SUBCONTRACTS SUBTOTAL:			\$				
d. OTHER (Specify categories)			ESTIMATED COST				
			\$				
OTHER SUBTOTAL:			\$				
OTHER DIRECT COSTS TOTAL:						\$	
11. TOTAL ESTIMATED COST						\$	
12. PROFIT				\$			
13. TOTAL PRICE				\$			

**PART III - CERTIFICATIONS**

**14. CONTRACTOR**

14a. HAS A FEDERAL AGENCY OR A FEDERALLY CERTIFIED STATE OR LOCAL AGENCY PERFORMED ANY REVIEW OF YOUR ACCOUNTS OR RECORDS IN CONNECTION WITH ANY OTHER FEDERAL GRANT OR CONTRACT WITHIN THE PAST TWELVE MONTHS?

YES NO (If "YES" give name, address, and telephone number of reviewing office.)

14b. THIS SUMMARY CONFORMS WITH THE FOLLOWING COST PRINCIPLES

14c. This proposal is submitted for use in connection with and in response to (1)\_\_\_\_\_. This is to certify that to the best of my knowledge and belief that the cost and pricing data summarized herein are complete, current, and accurate as of (2)\_\_\_\_\_ and that a financial management capability exists to fully and accurately account for the financial transactions under this project. I further certify that I understand that the subagreement price may be subject to downward renegotiation and/or recoupment where the above costs and pricing data have been determined, as a result of audit, not to have been complete, current, and accurate as of the date above.

(3) \_\_\_\_\_  
DATE OF EXECUTION

\_\_\_\_\_  
SIGNATURE OF PROPOSER

\_\_\_\_\_  
TITLE OF PROPOSER

**15. APPLICANT**

I certify that I have reviewed the cost/price summary set forth herein and the proposed costs/price appear acceptable for subagreement award.

\_\_\_\_\_  
DATE OF EXECUTION

\_\_\_\_\_  
SIGNATURE OF APPLICANT

\_\_\_\_\_  
TITLE

**16. DEP REVIEWER (if applicable)**

\_\_\_\_\_  
DATE OF EXECUTION

\_\_\_\_\_  
SIGNATURE OF REVIEWER

\_\_\_\_\_  
TITLE

## **Appendix E**

### **DBE Forms - Professional Services Contracts**



# DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION FOR PROFESSIONAL SERVICES CONTRACTS

## I. Purpose

The purpose of this guidance document is to assist local governmental units (LGUs) and their Prime Consultant in demonstrating compliance with the United States Environmental Protection Agency (EPA) requirements for disadvantaged business enterprise (DBE) participation in professional services contracts.

## II. Requirements

### DISADVANTAGED BUSINESS ENTERPRISE PROGRAM BACKGROUND

In May 2008 a new EPA rule became effective that changed the Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) Program to a Disadvantaged Business Enterprise (DBE) Program.

For firms to qualify under the old MBE/WBE program they needed to be socially disadvantaged and had to be certified by the State Office of Minority and Women Business Assistance (SOMWBA), recently renamed the Supplier Diversity Office (SDO). Under the new DBE rule, the firms must be both **socially** and **economically** disadvantaged, citizens of the United States, and certified as a DBE either by the state or the federal government. Women and certain minorities are presumed to be socially disadvantaged. The economic disadvantage is measured by the owner's initial and continuing personal net worth of less than \$750,000 (exclusive of primary residence ownership and interest in the company).

Because the Clean Water Act requires the use of MBEs and WBEs, these firms will still be utilized in the State Revolving Fund (SRF) Loan Program, but they must also be certified as DBEs.

SDO (formerly SOWMBA) will continue to be the certifying agency for the SRF program. SDO has added the personal net worth and citizenship requirements to their certifying process and firms will be classified as either an MBE or WBE and DBE.

The following are the new DBE goals.

Disadvantaged MBEs 3.40%\*      Disadvantaged WBEs 3.80%\*.

### III. Procedures

1. In cases where the professional services contracts achieve the goal of 3.40% MBE and 3.80% WBE participation, the LGU and/or its Prime Consultant is required to submit Form EEO-DEP-190E (Schedule of Participation for Professional Services) and Form EEO-DEP-191E (Letter of Intent) to MassDEP. Form EEO-DEP-190E identifies the proposed M/WBE subcontractors, the type of services to be provided by each subcontractor (e.g., Architecture, preparation of O&M manuals, laboratory analysis, etc.), and the respective dollar value of their participation. Form EEO-DEP-191E must be completed for each M/WBE subcontractor identified on Form EEO-DEP-190E.
2. In the event that a professional services contract does not achieve the goal of 3.40% MBE and 3.80% WBE participation, MassDEP may request that the LGU's Prime Consultant provide additional documentation demonstrating what positive efforts were made to achieve the participation goal. In cases where the LGU's Prime Consultant fails to demonstrate the 3.40% MBE and 3.80% WBE participation in the professional services contract, the Prime Consultant must submit Form EEO-DEP-490E (Request for Waiver), together with the supporting documentation identified therein, to MassDEP.
3. MassDEP's project approval certificate shall contain a condition requiring the LGU's Prime Consultant to submit all executed consultant contracts, including contracts with M/WBE subcontractor(s) if in excess of \$25,000, to MassDEP within sixty (60) days from the date of the award of financial assistance to the LGU by the Water Pollution Abatement Trust (the Trust).
4. In order for MassDEP to monitor compliance with its above stated M/WBE provisions for professional services contracts, any LGU who does not file monthly or bi-monthly Payment Requisitions on Form -3000 (Consultant Engineer's Request and Certification) to document W/MBE activity, will be required at a minimum to submit Form EEO-DEP-390E (Quarterly M/WBE Activity Report) on a quarterly basis. The Form EEO-DEP-390E is not attached to this package but will be made available to those that need to use it when the Form 3000 reporting is not an option.

DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION  
MASSACHUSETTS DEPARTMENT OF ENVIRONMENTAL PROTECTION  
DIVISION OF MUNICIPAL SERVICES

**SCHEDULE OF PARTICIPATION FOR PROFESSIONAL SERVICES**

**Project Title:** \_\_\_\_\_ **Project Location:** \_\_\_\_\_

**Disadvantaged Minority Business Enterprise Participation in the SRF Loan Work**

Name & Address of D/MBE	Nature of Participation	Dollar Value of Participation
1.		
2.		
3.		

**Total D/MBE Commitment:**

**Percentage D/MBE Participation** = (Total D/MBE Commitment) / (Total Engineering Cost) =

\$
%

**Disadvantaged Women Business Enterprise Participation in the SRF Loan Work**

Name & Address of D/WBE	Nature of Participation	Dollar Value of Participation
1.		
2.		
3.		

**Total D/WBE Commitment:**

**Percentage D/WBE Participation** = (Total D/WBE Commitment) / (Total Engineering Cost) =

\$
%

The Prime Consultant agrees to furnish implementation reports as required by the Awarding Authority to indicate the D/MBE(s) and D/WBE(s) which it has used or intends to use. Breach of this commitment constitutes a breach of the contract.

Name of Prime Consultant: \_\_\_\_\_

Date: \_\_\_\_\_ By: \_\_\_\_\_  
Signature

NOTE: Participation of a DBE may be counted in only their certified category; the same dollar participation cannot be used in computing the percentage of D/MBE participation and again of D/WBE participation.

DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION  
MASSACHUSETTS DEPARTMENT OF ENVIRONMENTAL PROTECTION  
DIVISION OF MUNICIPAL SERVICES

**LETTER OF INTENT FOR PROFESSIONAL SERVICES**

This form is to be completed by the disadvantaged MBE and WBE and must be submitted by the Prime Consultant as part of the proposal. A separate form must be completed for each D/MBE and D/WBE involved in the project.

Project Title: \_\_\_\_\_ Project Location: \_\_\_\_\_

**TO:** \_\_\_\_\_  
(Prime Consultant)

**FROM:** \_\_\_\_\_  
(Please Indicate Status [ ] D/MBE or [ ] D/WBE)

° I/we intend to perform work in connection with the above project as (check one):

[ ] An individual [ ] A partnership  
[ ] A corporation [ ] A joint venture with: \_\_\_\_\_  
[ ] Other (explain): \_\_\_\_\_

° It is understood that if you are awarded the contract, you intend to enter into an agreement to perform the activity described below for the prices indicated.

**DBE PARTICIPATION**

Description of Activity	Date of Project Commencement	\$ Commitment	% Total Engineering Cost
		\$	%

° The undersigned certify that they will enter into a formal agreement upon execution of the contract for the above referenced project.

PRIME CONSULTANT	MBE/WBE
(Authorized Original Signature) _____ Date _____	(Authorized Original Signature) _____ Date _____
ADDRESS: _____	ADDRESS: _____
TELEPHONE #: _____	TELEPHONE #: _____
FEIN: _____	FEIN: _____

**ORIGINALS:**

- ° Compliance Mgr. City/Town Project Location
- ° MassDEP Program Manager for MassDEP's CRU Director

**\* Attach a copy of current (within 2 years) DBE Certification**

DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION  
MASSACHUSETTS DEPARTMENT OF ENVIRONMENTAL PROTECTION  
DIVISION OF MUNICIPAL SERVICES

**REQUEST FOR WAIVER FOR PROFESSIONAL SERVICES**

**Upon exhausting all known sources and making every possible effort to meet the minimum requirements for DBE participation, the Prime Consultant seeks relief from these requirements by filing this form. Failure to comply with this process shall be cause to reject the eligibility of engineering costs.**

General Information

Project Title: \_\_\_\_\_ Project Location: \_\_\_\_\_

Prime Consultant: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Telephone No. (    )                      Ext. \_\_\_\_\_

Minimum Requirements

The Prime Consultant must show that good faith efforts were undertaken to comply with the percentage goals as specified. The firm seeking relief must show that such efforts were taken appropriately in advance of the time set for approval of the application by submitting the following:

- A. A detailed record of the effort made to contact and negotiate with minority and/or woman owned businesses, including:
1. names, addresses, telephone numbers and contact dates of all such companies contacted;
  2. copies of dated written notice(s) which were sent to DBE potential subcontractors prior to application deadlines;
  3. copies of dated advertisements as appearing in general publications, trade-oriented publications, and applicable minority/women-focused media detailing the opportunities for participation;
  4. a detailed statement as to why each subcontractor contacted (i) was not willing to do the job or (ii) was not qualified to perform the work as solicited; and
  5. in the case(s) where a negotiated price could not be reached the Prime Consultant should detail what efforts were made to reach an agreement on a competitive price.
- B. MassDEP may require the Prime Consultant to produce such additional information as it deems appropriate.

- C. No later than fifteen (15) days after receipt of all required information and documentation, MassDEP shall make a determination, in writing, whether the waiver request is granted and shall provide that determination to the Prime Consultant and Awarding Authority. If the waiver request is denied, the facts upon which a denial is based will be set forth in writing.

Special Note

If at any time, MassDEP determines that one or more of the DBE contractors as submitted by the Prime Consultant on form EEO-DEP-190C is not certified, the bidder shall have 10 working days, following notification to MassDEP, to either find a certified DBE contractor to perform work equal to or greater than that of the uncertified contractor or submit a waiver request.

CERTIFICATION

The undersigned herewith certifies that the above information and appropriate attachments are true and accurate to the best of my knowledge and that I have been authorized to act on behalf of the Prime Consultant in this matter.

---

(authorized original signature)

---

DATE

MAILING INSTRUCTIONS: (CERTIFIED MAIL)

TO: MassDEP-DMS PROGRAM  
MANAGER  
ONE WINTER STREET – 6th FLOOR  
BOSTON, MA 02108-3237

CC: MassDEP - CRU DIRECTOR  
ONE WINTER STREET - 4<sup>TH</sup> FLOOR  
BOSTON, MA 02108-3237

## **Appendix F**

### **Statement of Tax Compliance**

## STATEMENT OF TAX COMPLIANCE

I, \_\_\_\_\_, as \_\_\_\_\_ of  
(Title)

\_\_\_\_\_, whose principal place of business is located at  
(Business)

\_\_\_\_\_, do hereby certify that the above-named  
\_\_\_\_\_ has complied with all laws of the  
Commonwealth of Massachusetts relating to taxes, in accordance with the provisions of  
Massachusetts General Laws, Chapter 62C, 49A, as amended.

Signed under the penalties of perjury this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

DATED: \_\_\_\_\_

\_\_\_\_\_  
(Authorized Signature)



## **Appendix H**

### **Loan Reimbursements**

## Loan Reimbursement Forms

Once a loan has been made with the Trust the community may begin seeking reimbursement for costs incurred on the project. The consultant engineer for the project will fill out the forms, gather the appropriate backup and submit the forms to MassDEP. MassDEP then forwards a 1000 form to the Trust. The Trust will then wire transfer the funds to the community.

The required forms needed to seek reimbursement are: 1000, 2000 and 3000 forms. The 1000 form states the following: the approved amount of the loan, the previous requests made by the community and the current requested amount. This form must be signed by the Authorized Representative of the community.

The 2000 form is known as the contractor's form. This form shows the approved amount of the contractor's contract and M/WBE information. Similar to the 1000 form, the 2000 form maintains a running balance of the contract. The M/WBE information must be updated with each reimbursement request. The 2000 form requires the signature of the contractor, the consulting engineer and the MassDEP inspector.

The 3000 form is known as the consultant engineer's form. The 3000 form is exactly like the 2000 form and its requirements. The 3000 form requires the signature of the consulting engineer.

When the community signs a final loan agreement with the Trust either the community or the consulting engineer should contact MassDEP to receive a copy of these forms. Those projects in the Northeast and Western regions should contact **Robert Bourque at (617) 556-1103**, and for those projects in the Southeast and Central regions contact **Margaret Mansfield at (617) 292-5943**.

Samples of these forms follow this page.

# BUREAU OF RESOURCE PROTECTION

## PAYMENT REQUISITION

LOAN NO.: _____ DMS PROJECT NO.: _____		REQUEST NO.: _____ 1 _____	
LEGAL NAME AND ADDRESS OF BORROWER:		PAYABLE TO:	
		PAYMENT METHOD: WIRE TRANSFER	
		ACCOUNT #:	

EXPENDITURE TYPE	APPROVED AMOUNT \$	PREVIOUS REQUESTS \$	THIS REQUEST \$
Technical Expense	\$ -	\$ -	\$ -
Construction	\$ -	\$ -	\$ -
Contingency	\$ -		
Administrative (Police)	\$ -	\$ -	\$ -
Totals	\$ -	\$ -	\$ -

SAMPLE

**CERTIFICATION OF THE BORROWER:**

The Authorized Representative of the Borrower identified below certifies the following:

(i) This payment is for Project Costs and the obligations specified herein have not been the basis for a prior requisition that has been paid;

(ii) there has been no Default, as defined in the Regulatory Agreement hereunder or no Event of Default as defined in the Loan Agreement, and no event or condition exists which after notice or lapse of time or both, would become a Default under the Regulatory Agreement or an Event of Default under the Loan Agreement exists; and

(iii) the payment requested by this requisition is due for work actually performed or materials or property actually supplied prior to the date of of this requisition less retainage.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

(To be completed by the DEP Division of Municipal Services)

Amount Requested: \_\_\_\_\_

Signature: \_\_\_\_\_

Print Name: Steven J. McCurdy

Title: Director

Amount Approved: \_\_\_\_\_

Date: \_\_\_\_\_

# BUREAU OF RESOURCE PROTECTION

## PERIODIC PAYMENT FORM

(Contractor's Request)

LOAN NO. : DMS PROJECT NO.: CONTRACT NO.:				DESCRIPTION OF CONTRACT / TASK:   REQUEST NO.: <u>  1  </u>  PAYMENT PERIOD:                      From                      To  CONTRACT SERVICE DATES: From                      To			
CONTRACTOR NAME & ADDRESS: _____ _____ _____							
CONSULTANT ENGINEER NAME & ADDRESS: _____ _____ _____							
_____ _____							
EXPENDITURE TYPE	APPROVED COST \$	PREVIOUS REQUESTS %	PREVIOUS REQUESTS \$	THIS REQUEST \$	CUMMULATIVE REQUESTS %	CUMMULATIVE REQUESTS \$	REMAINING BALANCE \$
Construction	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -
<b>MBE/WBE Subcontractors</b>							
Company A	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -
Company B	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -
Total	\$ -	#####	\$ -	\$0.00	####	\$ -	\$ -
<i>I certify that to the best of my belief and knowledge, (i) that the attached invoices are in accordance with the specifications of the approved project plans; and (ii) that all work in place as of this date are in accordance with the terms of the above referenced Construction Contract.</i>			<b>BY THE CONTRACTOR</b>  _____ _____ _____	Certified by: _____  Type Name and Title: _____ _____		Date Signed   Telephone	
			<b>BY THE CONSULTING ENGINEER</b>  _____ _____ _____	Recommended by: _____  Type Name and Title: _____ _____		Date Signed   Telephone	
			THE WORK AS INVOICED HERE TO DATE APPEARS REASONABLE THE WORK AS INVOICED HERE TO DATE APPEARS REASONABLE  SIGNATURE _____  PRINT NAME <b>DEP/ BRP PROJECT INSPECTOR</b>		Date Signed		
					Telephone		

**DEPARTMENT OF ENVIRONMENTAL PROTECTION**  
**BUREAU OF RESOURCE PROTECTION**

**PAYMENT REQUISITION**

(Consultant Engineer's Request and Certification)

LOAN NO. : _____ DMS PROJECT NO. : _____ CONTRACT No. _____	DESCRIPTION OF PROJECT: _____  REQUEST No. <u>  1  </u>
LEGAL NAME OF BORROWER: _____ _____	PAYMENT PERIOD:                      From                      To
CONSULTANT NAME & ADDRESS: _____ _____ _____	CONTRACT SERVICE DATES: From                      To

EXPENDITURE TYPE	APPROVED COST \$	PREVIOUS REQUESTS		THIS REQUEST \$	CUMMULATIVE REQUESTS		REMAINING BALANCE \$
		%	\$		%	\$	
Technical Services	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -
<b>MBE/WBE Subcontractors</b>							
Company A	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -
Company B	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -
Company C	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -
<b>Totals</b>	\$ -	#####	\$ -	\$ -	####	\$ -	\$ -

*The Borrower's Consultant Engineer identified herein certifies as follows: 1) the attached invoices and supporting documentation are for project costs for work actually performed or material or property actually supplied prior to the date of this requisition in conformity with the plans and specifications approved by the Department, or in the case of substantial deviations from the approved plans and specifications, the attached documentation demonstrates that all such deviations have been authorized and certified to by the Borrower or it's Consultant Engineer in accordance with M.G.L. c 30, ss39I and are project costs.*

<b>BY THE CONSULTING ENGINEER</b>	
Certified by: _____  Type Name and Title: _____ _____	Date Signed _____  Telephone _____ _____